

eZ-Audit
Use-Case Specification 17: Send to Co-Team Leader
for Approval

Version 1.1

eZ-Audit	Version: 1.1
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UC 17	

Revision History

Date	Version	Description	Author
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August 7, 2002	1.1	Revised for deliverable re-submission.	Seth Sinclair

eZ-Audit	Version: 1.1
Use-Case Specification 17: Send to Co-Team Leader for Approval	Date: August 7, 2002
UC 17	

Table of Contents

1.	Send to Co-Team Leader for Approval	4
1.1	Brief Description	4
2.	Flow of Events	4
2.1	Basic Flow	4
2.2	Alternative Flows	4
2.2.1	Case Team User Selects to Cancel	4
2.2.2	Resolution Package Incomplete	5
3.	Special Requirements	5
4.	Preconditions	5
4.1	Institution Selected from Assigned Queue	5
4.2	Case Team User Identified as ARS Role or FA Role	5
5.	Postconditions	5
5.1	Resolution Package Displayed in Co-Team Leader's Approval Queue	5
6.	Extension Points	5
6.1	Use Case 14 "Approve Resolution Documents"	5
6.2	Use Case 15 "Select Institution"	6
6.3	Use Case 19 "Upload FAD"	6
6.4	Use Case 20 "Complete DDIF"	6
6.5	Use Case 21 "Complete ACD"	6
6.6	Use Case 22 "Recalculate Composite Scores and Ratios"	6
6.7	Use Case 23 "Create Determination for Financial Statement"	6
7.	Requirements	6

eZ-Audit	Version: 1.1
Use-Case Specification 17: Send to Co-Team Leader for Approval	Date: August 7, 2002
UC 17	

Use-Case Specification 17: Send to Co-Team Leader for Approval

1. Send to Co-Team Leader for Approval

1.1 Brief Description

When an Audit Resolution Specialist (ARS) or Financial Analyst (FA) finishes compiling resolution documentation, they will submit their resolution package to a Co-Team Leader for approval. Depending on the type of submission the user is resolving, this may include the ACD, DDIF, FAD, and PADL (optional) for an ARS or Financial Worksheets and the Determination for the Financial Statements (which may include either a Request for a Letter of Credit or a Zone Letter) for an FA. This Use Case focuses on the Case User's Ability to submit the complete resolution package to the Co-Team Leader for approval.

2. Flow of Events

2.1 Basic Flow

1) Case Team Actor Selects to Send Package for Approval

The Case Team Actor selects the "Submit to Co-Team Leader" option from the Left Navigation Bar within an individual institution record. See Extension Point Use Case 15 – "Select an Institution" for details on the process of selecting an institution record and left navigation bar options.

2) System presents the Submit Page

The System presents a page to the User with text explaining that they are about to submit the resolution package to the Co-Team Leader for approval and that all individual components must be complete. There is a submit option and a cancel option.

3) Case Team Actor Selects Submit

The Case Team Actor selects the submit option.

4) System routes the Submission to the Co-Team Leader

The system verifies that the components of the resolution package are flagged as "complete" and routes the resolution package to the appropriate Co-Team Leader's "Pending Approval" queue. See Extension Point - Use Case 14 "Approve Resolution Documents" for information on the Co-Team Leader approval process. The institution record remains in the Case Team Actor's Assigned Queue with the status displayed as "Under Review." See Extension Point – Use Case 15 "Select an Institution" for details on the Assigned Queue.

2.2 Alternative Flows

2.2.1 Case Team User Selects to Cancel

From Step 2 of the Basic Flow, the Case Team Actor selects the cancel option.

1) Case Team Actor selects to Cancel

The Case Team User selects the cancel option.

eZ-Audit	Version: 1.1
Use-Case Specification 17: Send to Co-Team Leader for Approval	Date: August 7, 2002
UC 17	

2) System Returns User to Previous Page

The Systems displays the page within the institution record from which the User selected the “Submit to Co-Team Leader for Approval” option.

2.2.2 Resolution Package Incomplete

From Step 2 of the Basic Flow, the Case Team User attempts to submit an incomplete resolution package. See Extension Point – Use Cases 19 “Upload FAD,” 20 “Complete DDIF,” 21 “Complete ACD,” for the required elements for a ARS package and Use Cases 22 “Recalculate Scores and Ratios” and 23 “Create Determination for Financial Statement” for the required elements for a FA package.

1) Case Team Actor selects Submit

The Case Team Actor selects the submit option without having completed all required components of their Resolution Package.

2) System Displays Error Response

The Systems determines that not all components of the resolution package are flagged as “complete” and displays a page with a message noting which elements of the resolution package are incomplete. The system also displays a text message explaining that edit checks for each element of the package are located on the creation page (i.e. if DDIF is missing required elements or does not match the ACD, specific error will display on the DDIF data entry page).

3. Special Requirements

No Special Requirements for this Use Case.

4. Preconditions

4.1 Institution Selected from Assigned Queue

The Case Team User has already selected in individual institution record from their assigned queue.

4.2 Case Team User Identified as ARS Role or FA Role

The Case Team User’s profile was created/saved as either the ARS or FA role in the User Management Area of eZ-Audit.

5. Postconditions

5.1 Resolution Package Displayed in Co-Team Leader’s Approval Queue

The Resolution package is routed to the responsible Co-Team Leader’s Approval Queue for review. See Extension Point - Use Case 14 “Approve Resolution Documents” for information on the Co-Team Leader approval process.

6. Extension Points

6.1 Use Case 14 “Approve Resolution Documents”

Describes the Co-Team leader’s ability to view resolution packages submitted for approval and determine to approve or return to the Case Team for further work.

eZ-Audit	Version: 1.1
Use-Case Specification 17: Send to Co-Team Leader for Approval	Date: August 7, 2002
UC 17	

6.2 Use Case 15 “Select Institution”

Explains the Case Team User’s ability to see their assigned queue and select an institution.

6.3 Use Case 19 “Upload FAD”

Defines the process behind attaching and tracking the FAD letter.

6.4 Use Case 20 “Complete DDIF”

Defines the process behind completing and saving the DDIF form.

6.5 Use Case 21 “Complete ACD”

Defines the process behind completing and saving the ACD form.

6.6 Use Case 22 “Recalculate Composite Scores and Ratios”

Covers the Financial Analyst’s ability to perform recalculations on submitted data.

6.7 Use Case 23 “Create Determination for Financial Statement”

Explains the FA’s process for selecting a resolutions and uploading any needed letters.

7. Requirements

GEN892 The system will track the date that the Co-Team leader approves the resolution of the audit (ACD, FAD, DDIF - must all have same date).

GEN1154 The system will queue the Audit Clearance Document (ACD) for Co-Team approval upon submission by ARS.

GEN 1155 The system will queue the Deficiency Data Input Form (DDIF) for Co-Team approval upon submission by ARS.

GEN1156 The system will queue the Final Audit Determination (FAD) for Co-Team approval upon submission by ARS.